

06/11/01
31060 U.S. PTO

06-12501

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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. US010274
First Inventor Srinivas Gutta et al.
Title FILTERING OF RECOMMENDATIONS ...
Express Mail Label No. EL918828494US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 25]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
- Oath or Declaration [Total Pages 2]
 - ☒ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Appt. Assoc, checks, trans. shts.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name Corporate Patent Counsel
Address U.S. Philips Corporation
580 White Plains Road
City Tarrytown State NY Zip Code 10591
Country U.S. Telephone (914) 332-0222 Fax (914) 332-0615

Name (Print/Type) Daniel E. Tierney Registration No. (Attorney/Agent) 33,461
Signature [Signature] Date 6/11/01

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL918828494US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: June 11, 2001

Daniel E. Tierney

31060 U.S. PTO

09/878607

06/11/01

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 866.00)

Complete if Known

Application Number	
Filing Date	June 11, 2001
First Named Inventor	Srinivas Gutta et al.
Examiner Name	
Group Art Unit	
Attorney Docket No.	US01027405

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 04-1121
Deposit Account Name DILWORTH & BARRESE, LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	710	355			Utility filing fee	\$710.00
106	206	320	160			Design filing fee	
107	207	490	245			Plant filing fee	
108	208	710	355			Reissue filing fee	
114	214	150	75			Provisional filing fee	

SUBTOTAL (1) (\$ 710.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
22	-20** = 2	18	\$36
4	-3** = 1	80	\$80
		270	0

**or number previously paid, if greater; For Reissues, see below

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	203	18	9			Claims in excess of 20
102	202	80	40			Independent claims in excess of 3
104	204	270	135			Multiple dependent claim, if not paid
109	209	80	40			** Reissue independent claims over original patent
110	210	18	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 116.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	130	65			Surcharge - late filing fee or oath	
127	227	50	25			Surcharge - late provisional filing fee or cover sheet	
139	239	130	130			Non-English specification	
147	247	2,520	2,520			For filing a request for <i>ex parte</i> reexamination	
112	212	920*	920*			Requesting publication of SIR prior to Examiner action	
113	213	1,840*	1,840*			Requesting publication of SIR after Examiner action	
115	215	110	55			Extension for reply within first month	
116	216	390	195			Extension for reply within second month	
117	217	890	445			Extension for reply within third month	
118	218	1,390	695			Extension for reply within fourth month	
128	228	1,890	945			Extension for reply within fifth month	
119	219	310	155			Notice of Appeal	
120	220	310	155			Filing a brief in support of an appeal	
121	221	270	135			Request for oral hearing	
138	238	1,510	1,510			Petition to institute a public use proceeding	
140	240	110	55			Petition to revive - unavoidable	
141	241	1,240	620			Petition to revive - unintentional	
142	242	1,240	620			Utility issue fee (or reissue)	
143	243	440	220			Design issue fee	
144	244	600	300			Plant issue fee	
122	222	130	130			Petitions to the Commissioner	
123	223	50	50			Processing fee under 37 CFR 1.17(q)	
126	226	240	120			Submission of Information Disclosure Stmt	
581	281	40	40			Recording each patent assignment per property (times number of properties)	\$40
146	246	710	355			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	710	355			For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	710	355			Request for Continued Examination (RCE)	
169	269	900	900			Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

Name (Print/Type) Daniel E Tierney

Registration No. 33,461
(Attorney/Agent)

Complete (if applicable)

Telephone (516) 228-8484

Signature

Date 6/11/01

CERTIFICATION UNDER 37 C.F.R. § 1.10

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Dated: June 11, 2001

Daniel E. Tierney

THE COMMISSIONER OF PATENTS AND TRADEMARKS, Washington, D.C. 20231

Enclosed for filing is the patent application of Inventor(s):
Srinivas Gutta, Kaushal Kurapati and Miroslav Trajkovic

For: FILTERING OF RECOMMENDATIONS EMPLOYING PERSONAL
CHARACTERISTICS OF USERS

ENCLOSED ARE:

- [X] Appointment of Associates;
[X] Information Disclosure Statement, Form PTO-1449 and copies of documents listed therein;
[] Preliminary Amendment;
[X] Specification (25 Pages of Specification, Claims, & Abstract);
[X] Declaration and Power of Attorney:
(2 Pages of a [X]fully executed [] unsigned Declaration);
[X] Drawing (3 sheets of [X]informal [] formal sheets);
[] Certified copy of application Serial No. ;
[X] Authorization Pursuant to 37 CFR \$1.136(a)(3)
[X] Other: Checks \$826 & \$40; Appointment Of Assoc., PTO/SB/05&17;
[X] Assignment to Philips Electronics North America Corp.

FEE COMPUTATION

CLAIMS AS FILED				
FOR	NUMBER FILED	NUMBER EXTRA	RATE	BASIC FEE - \$710.00
Total Claims	22- 20 =	2	X \$18 =	36.00
Independent Claims	4 - 3 =	1	X \$80 =	80.00
Multiple Dependent Claims, if any			\$270 =	0.00
TOTAL FILING FEE				= \$826.00

The Commissioner is hereby authorized to charge any other fees which may be required, except the issue fee, or credit any overpayment to Account No. 14-1270.

[] Amend the specification by inserting before the first line as a centered heading --Cross Reference to Related Applications--; and insert below that as a new paragraph --This is a continuation-in-part of application Serial No. , filed , which is herein incorporated by reference--.

CERTIFICATE OF EXPRESS MAILINGExpress Mail Mailing Label No. EL918828494USDate of Deposit June 11, 2001

I hereby certify that this paper and/or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R.

1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Daniel E. Tierney
Typed Name

Daniel E. Tierney
Signature

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